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Iowa Data Repository Vendor Submission Guide

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Design for: Iowa Providers that will be submitting data to the IDPH I-SMART Data Repository.

Iowa Department of Public Health (IDPH)

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Table of Contents

A. Overview	3
B. High Level Architecture	4
C. File Formats	6
Understanding the file specifications:	6
D. Iowa Repository Data Submission Process	7
Required:.....	7
Connecting to FTP Site	7
E. Frequently Asked Questions and Issues.....	10
Where is the latest version of this document kept?	10
If I have questions regarding this specification document or other repository related issues, who should I contact?	10
How do I submit my files?.....	10
How far back do I need to pull data?	10
Where are the files kept that I have submitted?	10
How will I know what is bad in each record?	10
When are we supposed to submit the data files?	10
How often can I submit the files?	10
Can I resubmit records, even if they have not been changed?	10
The processing program is not picking up the files, what could be wrong?	11
F. Appendix 1: File Definitions and Validation Rules:.....	12
G. Appendix 2: Sample Output files.	12
Sample Repository Log file:.....	12
Sample Service.bad file:	12
Sample Admission.bad file:	12

A. Overview

The state of Iowa currently has 5 licensed substance abuse providers not using the state's I-SMART system. A means for these agencies to submit their data and for the state to report on this data is required. The proposed system will be a data repository containing data from both I-SMART and external agencies allowing the state to report on data from a single location.

This document will provide the details that Submitting Agencies will need to follow in order to submit compliant data files to the Iowa State Repository for treatment episodes.

B. High Level Architecture

Providers will submit files for the following domains: Client, Admission, Service (Encounter), Discharge, and Follow-Up (only some providers have follow-up data). The definitions for these files are in **Appendix 1**.

Each Provider will be given their own FTP site for uploading their files. (see section D)

The FTP site will have the following folders:

- **<Root>:** For uploading their files
- **<Root>\Processed:** For storing all files that have been processed. A subdirectory will be created within the "Processed" folder for each day that process is done. (This prevents files from stepping on older files). The subdirectory will contain all of the original files as well as the log files and the ".bad" files (described below).

Flow:

1. Providers upload delimited text files to FTP site.
2. Automated Service will kick-off at predefined intervals, and read the configuration file to determine how many providers should be processed and where their associated FTP folders are.
3. For each provider specified in the XML configuration file, the program will check their FTP folder for the existence of uploaded files.
4. Files will be processed in the following order: Client, Admission, Services, Discharge, Follow-up. It is not an error if one or more of the files do not exist.
5. Processing Software loads all of the validation rules. Code table values are loaded from the I-SMART Production database.
6. If files exist in the FTP upload folder:
 - a. A folder gets created within the Processed folder with Today's date and time
 - b. You will now have a Folder like: PROVIDER_FTP_FOLDER\Processed\2008-10-03.14:12
 - i. This would represent a run on October 3, 2008 at 2:12 in the afternoon
 - c. All files are moved from the FTP Folder to the folder just created
 - d. As each file is processed, it goes thru the following steps:
 - i. File is opened and verified that it is complete, i.e. ends in "*****EOF*****" (7 asterisks on each side)
 - ii. For each record:
 1. Each field is validated against the validation rules.
 2. If record is error free, it is then inserted/updated in the appropriate table in the repository
 3. If record has an error, the error description is appended to the end of the record and written to the ".bad" file.
 - iii. When all records for a given file are processed, an output message is displayed in the Repository.Log file that shows the following information:
 1. Filename

2. Number of records processed
 3. Number of records inserted / updated.
 4. Number of records with errors.
 5. Start time – End time,
- iv. When all records for a given file are processed, a record is inserted into the repository_load_history table that summarizes the processing results of that file.
7. When all files have been processed, an email is generated and sent to the appropriate provider contact. This email will include the processing summary (Repository.Log file), and the location where they can find the “.bad” files.
 - *Note: As a favor to the error remediation users, the application also creates an Excel version of the bad file(s) in the same directory.*
 - *See Appendix 2 for some sample files.*

C. File Formats

Each provider will be required to submit 5 files, reflecting the 5 domains of the episode of care. These files are:

1. Client.txt
2. Admission.txt (includes Crisis, Placement Screening, and Admission records)
3. Services.txt
4. Discharge.txt
5. Followup.txt

Each file needs to be named exactly what is defined above, or it will not be picked up by the processing routine.

Each file should be “|” delimited, with a “|” following each field in the record. i.e. the last character in the file should be a “|”.

Each file needs to end with the following record “*****EOF*****” (It needs 7 asterisks on each side of the EOF). This is how we know we have received the entire file.

Understanding the file specifications:

Attached is an file specification that contains a section for each domain of data. All sections follow the same format.

1. The rows that are shaded in grey should not be submitted, they are used for internal purposes only.
2. Rows shaded in yellow, represent “key” data fields that help to tie the record to your agency, facility, intake, and client. They need to be provided.
3. All other rows represent the individual data elements associated with that domain of data. The spreadsheet indicates whether or not that field is required, and if so, what the acceptable values are. For clarity purposes, we have added the description text next to each valid code for the “_code” fields. This description should not be sent in the “_code” field, but in the corresponding Description field.

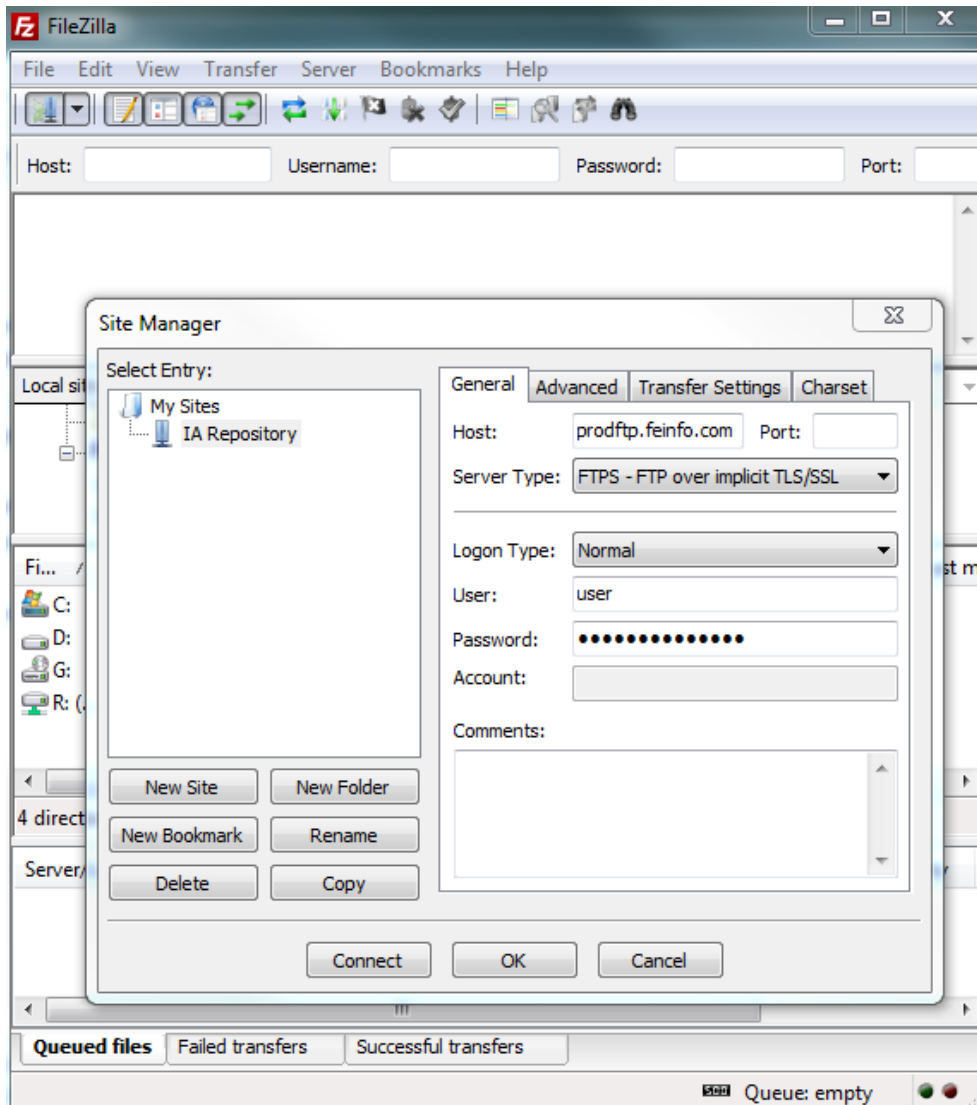
D. Iowa Repository Data Submission Process

Required:

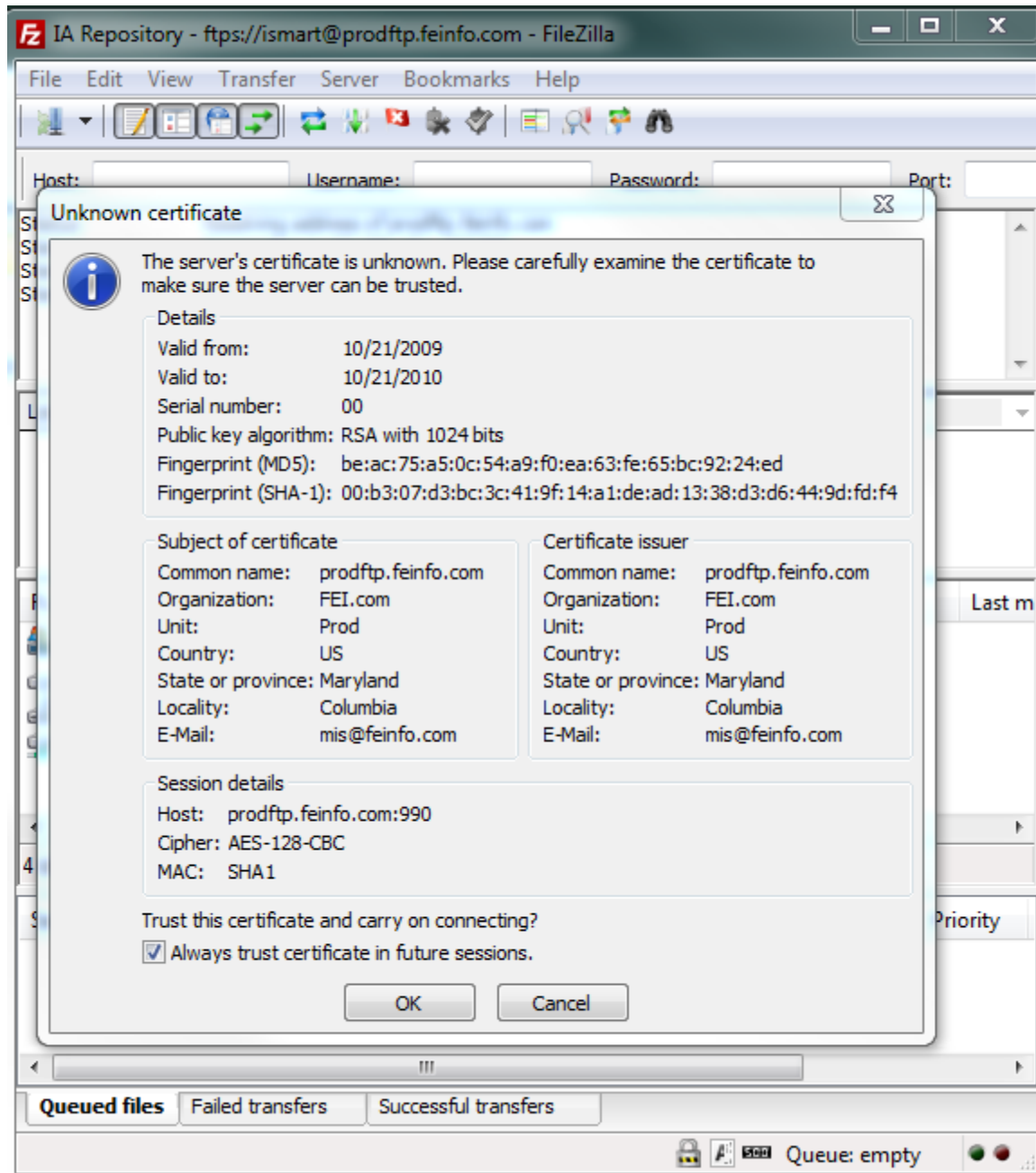
1. Repository FTP Login and Password.
 - a. Please contact State IDPH contact (see below)
2. FTP Client Software that Supports FTPS (FTP over implicit SSL).
 - a. FileZilla is the recommend FTP client, download [here](#).

Connecting to FTP Site

1. Open FileZilla software create a new site.
 - a. Host: prodftp.feinfo.com
 - b. Server Type: FTPS – FTP over implicit TLS/SSL
 - c. Logon Type: Normal
 - d. Fill in User and Password.



Select OK and Always trust certificate in future sessions.



E. Frequently Asked Questions and Issues

Where is the latest version of this document kept?

The most recent version of the document will be kept at the following website:

<http://www.idph.state.ia.us/ismart/default.asp>

If I have questions regarding this specification document or other repository related issues, who should I contact?

Please contact Diane Morris, from IDPH

How do I submit my files?

Each submitting provider will be given a login and password to a secure FTP site. You should login and place your files on that site as they are ready.

How far back do I need to pull data?

The state has required all episodes of care from 7/1/2009 and forward to be submitted. In addition, any client that is currently in treatment on 7/1/2009 (but was previously admitted), should also be sent.

Where are the files kept that I have submitted?

As each file is processed, it is moved to a "Processed\<Date/Time> folder in your FTP folder. This folder will contain all files submitted, the associated ".bad" files, and a Repository.log file that logs all of the processing results.

How will I know what is bad in each record?

For each file submitted, a ".bad" file is created in the appropriate "Processed" folder. This file only contains the records in error. They are an exact copy of what was submitted, with an extra field added to the end that lists all errors that were found in that record. Multiple errors are separated by a semi-colon.

As an added convenience, each ".bad" file is converted to Excel format for ease of review. This Excel file also has a header row so that you can associate the data with the proper source field.

When are we supposed to submit the data files?

IDPH would like you to supply your data files by the 10th of every month.

How often can I submit the files?

The system will be accessible 24x7, and will look for new files every hour

Can I resubmit records, even if they have not been changed?

Yes, the system first looks to see if a record exists in the repository, if it does, it updates the

record, if it does not exist, it adds the record.

The processing program is not picking up the files, what could be wrong?

There are two reasons that the processing program would not process the files:

1. The processing program is already running and processing other files.
2. The submitted files are not in the proper format, which usually means they are not named properly or don't have the "*****EOF*****" as the last line in the file.

F. Appendix 1: File Definitions and Validation Rules:



Iowa External Db
Requirements.pdf

G. Appendix 2: Sample Output files.

Sample Repository Log file:



repositoryia.log

Sample Service.bad file:



service.bad.xls

Sample Admission.bad file:



admission.bad.xls